

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

UNITED STATES OF AMERICA

v.

SHAMOON RAFIQ,

Defendant.

INFORMATION

24 Cr. (VM)

24 CRIM 098

**COUNT ONE**

**(Conspiracy to Commit Securities and Wire Fraud)**

The United States Attorney charges:

1. In or about 2020, in the Southern District of New York and elsewhere, SHAMOON RAFIQ, the defendant, and others known and unknown, willfully and knowingly combined, conspired, confederated, and agreed together and with each other to commit offenses against the United States, namely (a) securities fraud, in violation of Title 15, United States Code, Sections 78j(b) and 78ff, and Title 17, Code of Federal Regulations, Section 240.10b-5; and (b) wire fraud, in violation of Title 18, United States Code, Section 1343, to wit, in or about 2020, RAFIQ agreed with others to defraud investors in connection with the purported sale of stock in privately held companies that had not yet conducted an initial public offering.

2. It was a part and object of the conspiracy that SHAMOON RAFIQ, the defendant, and others known and unknown, willfully and knowingly, directly and indirectly, by use of a means and an instrumentality of interstate commerce, and of the mails and of a facility of a national securities exchange, used and employed, in connection with the purchase and sale of a security, a manipulative and deceptive device and contrivance, in violation of Title 17, Code of Federal Regulations, Section 240.10b-5, by: (a) employing a device, scheme, and artifice to defraud; (b) making an untrue statement of a material fact and omitting to state a material fact necessary in

order to make the statements made, in the light of the circumstances under which they were made, not misleading; and (c) engaging in an act, practice, and course of business which operated and would operate as a fraud and deceit upon a person, in violation of Title 15, United States Code, Sections 78j(b) and 78ff.

3. It was a further part and object of the conspiracy that SHAMOON RAFIQ, the defendant, and others known and unknown, knowingly having devised and intending to devise a scheme and artifice to defraud, and for obtaining money and property by means of false and fraudulent pretenses, representations, and promises, would and did transmit and cause to be transmitted by means of wire, radio, and television communication in interstate and foreign commerce, writings, signs, signals, pictures, and sounds for the purpose of executing such scheme and artifice, in violation of Title 18, United States Code, Section 1343.

Overt Acts

4. In furtherance of the conspiracy and to effect the illegal objects thereof, the following overt acts, among others, were committed in the Southern District of New York and elsewhere:

a. On or about August 13, 2020, SHAMOON RAFIQ, the defendant, sent an email to an investment firm based in New York, New York and other recipients as part of an attempt to solicit a wire transfer of approximately \$9 million.

b. On or about October 16, 2020, RAFIQ caused a victim to make a wire transfer of approximately \$30,015.

c. On or about November 10, 2020, RAFIQ caused a victim to make a wire transfer of approximately \$159,050.

d. On or about December 8, 2020, RAFIQ caused a victim to make a wire transfer of

approximately \$813,550.

(Title 18, United States Code, Section 371.)

**FORFEITURE ALLEGATION**

5. As a result of committing the offense alleged in Count One of this Information, SHAMOON RAFIQ, the defendant, shall forfeit to the United States, pursuant to Title 18, United States Code, Section 981(a)(1)(C), and Title 28, United States Code, Section 2461(c), any and all property, real and personal, that constitutes or is derived from proceeds traceable to the commission of the offense alleged in Count One, including but not limited to a sum of money in United States currency representing the amount of proceeds traceable to the commission of said offense.

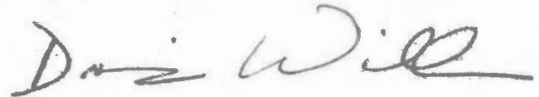
**Substitute Assets Provision**

6. If any of the above-described forfeitable property, as a result of any act or omission by the defendant:

- a. cannot be located upon the exercise of due diligence;
- b. has been transferred or sold to, or deposited with, a third party;
- c. has been placed beyond the jurisdiction of the court;
- d. has been substantially diminished in value; or
- e. has been commingled with other property which cannot be divided without difficulty;

it is the intent of the United States, pursuant to Title 21, United States Code, Section 853(p), and Title 28, United States Code, Section 2461(c), to seek forfeiture of any other property of the defendant up to the value of the forfeitable property described above.

(Title 18, United States Code, Section 981;  
Title 21, United States Code, Section 853; and  
Title 28, United States Code, Section 2461.)

A handwritten signature in dark ink, appearing to read "Damian Williams", written in a cursive style.

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DAMIAN WILLIAMS  
United States Attorney